



PATENT
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
 (fraunh01.039)

pct

Applicant: LUO

Paper No.:

Application No: 10/526,843

Group Art Unit:

Filed: 3/3/2005

Examiner:

Title: *Protecting mobile code against malicious hosts*

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 Commissioner for Patents
 Alexandria, VA 22313-1450

Certification under 37 C.F.R. 1.97(b)

Applicants' attorney hereby certifies that the items of information contained in the attached information disclosure is being filed in the above patent application within one of the following time periods:

- ____ (1) Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- ____ (2) Within three months of the date of entry of the national stage as set forth in §1.491 in an international application;
- X (3) Before the mailing of a first Office action on the merits; or
- ____ (4) Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.

Respectfully submitted,

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____ July 26, 2005
 Date



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(fraunh01.037)

Applicant: LUO, et al

Paper No.:

Application No: 10/654,826

Group Art Unit:

Filed: 9/24/2003

Examiner:

Title: *Protecting mobile code against malicious hosts*

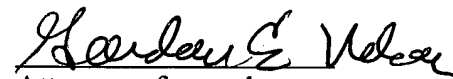
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Commissioner for Patents
Alexandria, VA 22313-1450

Relevance of the References in the Information Disclosure Statement

The references listed in the Information Disclosure Statement have been cited in the prosecution of PCT/US00/13128, LUO, et al., *Obfuscation of Executable Code*, filed 10/5/2000 and PCT/US00/13117, ZHAO, et al., *Authenticating executable code and executions thereof*, filed 12/5/2000, which were ancestors of the above application; and PCT/US03/27693, LUO, *Protecting mobile code against malicious hosts*, filed 9/4/2003, which was a descendant of the above application.

Respectfully submitted,



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July 26, 2005
Date

Certificate of Mailing

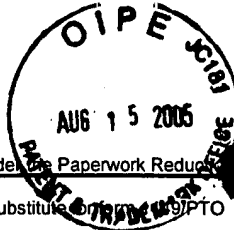
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Substitute Form 101 PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	10/526,843
Filing Date	3/3/2005
First Named Inventor	LUO
Art Unit	
Examiner Name	
Attorney Docket Number	fraunh01.049

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 5,287,407	02-15-1994	HOLMES	
		US- 5,287,408	02-15-1994	SAMSON	
		US- 5,745,569	04-28-1998	MOSKOWITZ et al.	
		US- 4,764,959 A	08-16-1988	WATANABE et al.	column 1, line 66- column 2, line 12
		US- 5,559,884 A	09-24-1996	DAVIDSON, et al.	column 1, line 66 - column 2, line 25
		US- 5,692,047 A	11-25-1997	McMANIS	column 2, line 50 - column 3, line 30
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		US- 6,668,325 B1	12-23-2003	COLLBERG, et al.	column 2, line 1- column 3, line 20
		US- 6,006,328 A	12-21-1999	DRAKE	
		US- 5,553,752 A	06-25-1996	RUBIN	
		US- 6,102,966 A	08-15-2000	TYMA	
		US- 5,892,899 A	04-06-1999	AUCSMITH, et al.	
		US- 5,613,004 A	03-18-1997	COPPERMAN, et al.	column 4, lines 10-15, column 8, lines 1-19
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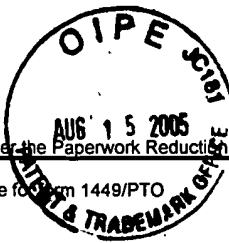
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		WO 00/72112 A3	11-30-2000	Fraunhofer CRCG, Inc.		
		WO 99/01815	01-14-1999	Intertrust, Inc.		
		WO 97/04394	02-06-1997	DRAKE		
		WO 99/13613	03-18-1999	Intel Corporation		

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number 10/526,843

Filing Date 3/3/2005

First Named Inventor LUO

Art Unit

Examiner Name

Sheet 2 of 2

Attorney Docket Number fraunh01.049

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		COLLBERG & THOMBORSON, "Software Watermarking: Models and Dynamic Embeddings", Department of Computer Science The Univ. of Auckland, Private Bag 92019, Auckland, NZ	
		COLLBERG, THOMBORSON & LOW, "A Taxonomy of Obfuscating Transformations", Technical Report #148, Department of Computer Science The Univ. of Auckland, Private 92019, Auckland, NZ	
		A, MONDEN, H. IIDA, K. MATSUMOTO, K. INOUE, and K. TORII, "A Practical Method for Watermarking Java Programs", In compsoc2000, pages 194-195	
		A MONDEN, H. IIDA, K. MATSUMOTO, K INOUE, and K. TORII, "Watermarking Java Programs," in Proc. 4th International Symposium on Future Software Technology (ISFST'99), pp. 119-124	

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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